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JCS11 U.S. PTO

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Patent  
Attorney Docket: 269/089

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.. 255/304  
First Named Inventor: Barbut et al.  
Prior Application Information:  
Serial No. 09/691,641  
Examiner: K. Truong  
Art Unit: 3731

Box Patent Application  
Commissioner for Patents  
P.O. Box 2327  
Arlington, VA 22202

J1050 U.S. PTO  
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11/30/01

FILING UNDER 37 CFR § 1.53(b)

This is a request for filing for a divisional application under 37 CFR § 1.53(b) of pending prior application Serial No. 09/691,641 filed on October 17, 2000, by **BARBUT et al.**, entitled:

**CANNULA WITH ASSOCIATED FILTER AND METHODS OF USE  
DURING CARDIAC SURGERY**

For CONTINUATION or DIVISION APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied, referenced above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**I. APPLICATION ELEMENTS ENCLOSED**

- 61 Page(s) of Written Description
- 2 Page(s) of Claims
- 1 Page(s) of Abstract
- 17 Sheet(s) of Drawings ☒ formal ☐ informal
- 4 Page(s) of ☒ Declaration or ☐ Declaration and Power of Attorney
  - ☒ Copy from prior application [37 CFR §1.63(d)]
  - ☐ Newly executed
- Other: \_\_\_\_\_
- ☐ Assignment papers (cover sheet and documents(s))
- ☒ An Information Disclosure Statement, PTO 1449, ☐ with copies of cited items.
- ☐ Request and Certification under 35 U.S.C. § 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35

CERTIFICATE OF MAILING (37 C.F.R. §1 10)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.

EL494995622US  
Express Mail Label No.

November 30, 2001  
Date of Deposit

*Cynthia B Pacheco*  
Cynthia B. Pacheco

## II. FEE CALCULATION

☐ Applicant claims small entity status under 37 CFR 1.27.

<b>BASIC FILING FEE:</b>						\$740.00
Total Claims	13	–	20	=	0	x \$18.00 \$0.00
Independent Claims	1	–	3	=	0	x \$84.00 \$0.00
Multiple Dependent Claims	\$280	(if applicable)				<input type="checkbox"/> \$0.00
<b>TOTAL OF ABOVE CALCULATIONS</b>						\$740.00
Reduction by ½ for Filing by Small Entity.						<input type="checkbox"/> \$0.00
Misc. Filing Fees (Recordation of Assignment)						\$0.00
<b>TOTAL FEES DUE HERewith</b>						\$740.00

## III. PRIORITY – 35 USC § 119

- ☐ Priority of application Serial No. \_\_\_\_\_ filed on \_\_\_\_\_ in Country is claimed under 35 USC § 119.
- ☐ The certified copy has been filed in prior U.S. application Serial No. \_\_\_\_\_ on \_\_\_\_\_.
- ☐ The certified copy will follow.

## IV. AMENDMENTS

- ☐ Cancel in this application original Claims \_\_\_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes if no new claims are added in a preliminary amendment.)
- ☐ A Preliminary Amendment is enclosed. (Claims added by Amendment must be numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

**V. RELATE BACK – 35 USC § 120**

- ☒ Relate back information included in preliminary amendment or specification.
- ☐ Please amend the specification as follows:
- [Enter continuing data here]
- ☒ With respect to the prior co-pending U.S. application from which this application claims benefit under 35 USC § 120, the inventor(s) in this application is (are) [37 CFR 1.53(b)(1)]:
- ☒ the same.
- ☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted [see 37 CFR §§1.33(b) AND 1.63(d)(2)]:
- [Name(s) of inventor(s) to be deleted]

**VI. METHOD OF PAYMENT OF FEES**

- ☒ Attached is a check in the amount of \$740.00.
- ☐ Charge Lyon & Lyon's Deposit Account No. **12-2475** in the amount of \_\_\_\_.
- ☐ Not attached. No filing fee is submitted. [This and the surcharge required by 37 CFR § 1.16(e) can be paid subsequently.]

**VII. AUTHORIZATION TO CHARGE ADDITIONAL FEES**

The Commissioner is hereby authorized to credit Lyon & Lyon's Deposit Account No. **12-2475** for any over payment of fees and to charge the following additional fees by this paper and during the entire pendency of this application to Deposit Account No. **12-2475**:

- ☒ 37 CFR § 1.16 (Filing fees and excess claims fees)
- ☒ 37 CFR § 1.17 (Application processing fees)
- ☐ 37 CFR § 1.21 (Assignment recordation fees)

**VIII. POWER OF ATTORNEY & CORRESPONDENCE ADDRESS**

- ☒ The power appears in the original papers in the prior application.
- ☐ The power does not appear in the original papers, but was filed on \_\_\_\_ in prior application Serial No. \_\_\_\_.
- ☐ A new power has been executed and is attached.

Please send all correspondence to Customer Number 22249:



LYON & LYON LLP  
Suite 4700  
633 W. Fifth Street  
Los Angeles, CA 90071  
(213) 489-1600 or (949) 567-2300

Please direct all inquiries to John Kappos, at the above Customer Number.

**IX. MAINTENANCE OF CO-PENDENCY OF PRIOR APPLICATION**

- ☐ A petition, fee and response has been filed to extend the term in the pending **prior** application until \_\_\_\_\_. A copy of the petition for extension of time in the **prior** application is attached.
- ☐ A conditional petition for extension of time is being filed in the pending **prior** application. A copy of the conditional petition for extension of time in the **prior** application is attached.

**X. ABANDONMENT OF PRIOR APPLICATION**

- ☐ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time or to revive in that application is granted and when this application is granted a filing date so as to make this application co-pending with said prior application. At the same time, please add the words "now abandoned" to the amendment of the specification set forth in Item V above.

Respectfully submitted,

LYON & LYON LLP

Dated: November 30, 2001

By: John Kappos  
John Kappos  
Reg. No. 37,861  
Attorneys for Applicants

JCK/cp  
Enclosures

EMBOL-X, Inc.  
Name of Assignee

645 Clyde Avenue, Mountain View, CA 94043-2212  
Address of Assignee

Chief Operating Officer  
Title of person authorized to sign on behalf of assignee

Assignment recorded in PTO on June 1, 1998, Reel 9242, Frame 0253.